



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application Howard N. Cannon et al.)
Application No. 60/258,177)
Filed: December 22, 2000)
For: OPERATOR INTERFACE SYSTEM)
Attorney Docket No. 00-351)

Peoria, Illinois 61629-6490

November 20, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTION OF FILING DATE

(A conversion under 37 C.F.R. § 1.53(c)(3) was improperly recorded as a New Application
Claiming Benefit of the Provisional Application)

Sir:

In response to the Filing Receipt dated November 8, 2001, please provide a
filing receipt for the above identified application having, corrections as follows:

1. The original filing date (December 22, 2000) of the Provisional Application
No. 60/258,177 should be maintained for this file. (The Provisional Patent Application was
converted, as opposed to claiming benefit.)

2. Domestic Priority data as claimed by applicant

THIS APPLN IS A CONVERSION OF 60/258,177 12/22/2000.

REMARKS


The following is a quotation of 37 CFR 1.53 (c) (3): "A provisional
application filed under paragraph (c) of this section may be converted to a non-provisional
application filed under paragraph (b) of this section and accorded the original filing date of
the original application. The conversion of a provisional application to a non-provisional

application will not result in either the refund of any application fee properly paid in the provisional application or the application of any such fee to the filing fee, or any other fee for the non-provisional application. A request to convert a provisional application to a non-provisional application must be accompanied by the fee set forth in § 1.17(i) and an amendment including at least one claim as prescribed by the second paragraph of 35 U.S.C. 112, unless the provisional application under paragraph (c) of this section otherwise contains at least one claim as prescribed by the second paragraph of 35 U.S.C. 112.”

Attached are photocopies of the following supplemental information relating to the original request for conversion of a provisional application to a non-provisional application:

1. REQUEST FOR CONVERSION OF PROVISIONAL TO NON-PROVISIONAL APPLICATION dated October 8, 2001
2. FILING RECEIPT dated November 8, 2001 (with requested changes indicated thereon)
3. TRANSMITTAL form submitted with request under 37 CFR 1.53(c) dated October 9, 2001
4. FEE TRANSMITTAL dated October 9, 2001

Respectfully submitted,


James R. Smith
Reg. No. 41,318
Caterpillar Inc.

Telephone: (309) 636-1569
Facsimile: (309) 675-1236
hjf

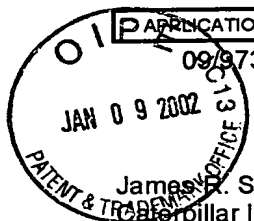
Enclosures



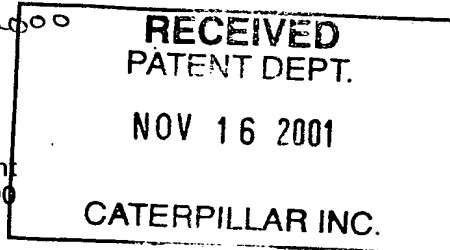
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/073,266	10/09/2001 12/22/2000	3682	932	00-351	4	26 ✓	4 ✓



James R. Smith
Caterpillar Inc.
Intellectual Property Department
100 N.E. Adams Street, AB6490
Peoria, IL 61629-6490



CONFIRMATION NO. 6180

FILING RECEIPT



OC000000007046529

Date Mailed: 11/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

- ✓ Howard N. Cannon, San Jose, CA;
- ✓ Michael G. Cronin, Peoria, IL;
- ✓ Michael F. Hopkins, Batavia, IL;
- ✓ Igor Strashny, Peoria, IL;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/258,177 12/22/2000.

Foreign Applications

If Required, Foreign Filing License Granted 11/08/2001

Projected Publication Date: 06/27/2002

Non-Publication Request: No

Early Publication Request: No

Title

- ✓ Operator interface system

Preliminary Class

074

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Please type a plus sign (+) inside this box



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Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

(Unassigned)

Filing Date

12/22/2000

First Named Inventor

Howard N. Cannon ET AL.

Group Art Unit

(Unassigned)

Examiner Name

(Unassigned)

Attorney Docket Number

00-351

ENCLOSURES

(check all that apply)



Fee Transmittal Form



Fee Attached



Amendment / Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Response to Missing Parts/
Incomplete Application



Response to Missing Parts
under 37 CFR 1.52 or 1.53



Assignment Papers
(for an Application)



Drawing(s)



Licensing-related Papers



Petition



Petition to Convert to a
Provisional Application



Power of Attorney, Revocation
Change of Correspondence
Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____



After Allowance Communication
to Group



Appeal Communication to Board
of Appeals and Interferences



Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)



Proprietary Information



Status Letter



Other Enclosure(s) (please
identify below):

Declaration

Declaration
Acknowledgement Postcard
Request/Petition Under CFR
1.53 (c)

Remarks

This is a request to convert provisional
application Serial No. 60/258,177 filed
12/22/2000, to a non-provisional
application.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

James R. Smith, Registration No. 41,318

Signature

James R. Smith

Date

October 9, 2001

U.S. POSTAL EXPRESS-MAILING LABEL NO. EL744441456US

This correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee"
service addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this date:

10/09/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Receipt

Please type a plus sign (+) inside this box



PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 60/258,177

Filing Date 12/22/2000

First Named Inventor Howard N. Cannon ET AL.

Group Art Unit 3682

Examiner Name

Total Number of Pages in This Submission

Attorney Docket Number 00-351

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

REQUEST FOR CORRECTION OF FILING DATE *

Remarks

* (A conversion under 37 CFR 153 (c) (3) was improperly recorded as a New Application Claiming Benefit of the Provisional Application)

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

James R. Smith, Registration No. 41,318

Signature

James R. Smith

Date

November 20, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

11/20/2001

Typed or printed name

James R. Smith

Signature

James R. Smith

Date

11/20/01

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application Howard N. Cannon et al.)
Application No. 60/258,177)
Filed: December 22, 2000)
For: OPERATOR INTERFACE SYSTEM)
Attorney Docket No. 00-351L)

Peoria, Illinois 61629-6490

October 8, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

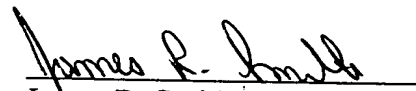
REQUEST FOR CONVERSION OF PROVISIONAL
TO NON-PROVISIONAL APPLICATION
(37 C.F.R. § 1.53(c)(3))

Sir:

Please convert the above identified provisional application filed to a non-provisional application under 37 C.F.R. § 1.53(c)(3).

A Declaration executed by the inventor is enclosed.

Respectfully submitted,


James R. Smith
Reg. No. 41,318
Caterpillar Inc.

Telephone: (309) 636-1569
Facsimile: (309) 675-1236



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Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

1058

Compl t if Known

Application Number	(Unassigned)
Filing Date	12/22/2000
First Named Inventor	Howard N. Cannon ET AL.
Examiner Name	(Unassigned)
Group Art Unit	(Unassigned)
Attorney Docket No.	00-351

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1129
Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 740

2. EXTRA CLAIM FEES

Total Claims 26 -20** = 6 X Fee from below 18 = 108
Independent Claims 4 -3** = 1 X Fee from below 84 = 80
Multiple Dependent

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 188

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	130
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130

SUBMITTED BY

Name (Print/Type)	James R. Smith	Registration No. (Attorney/Agent)	41,318	Complete (if applicable)	Telephone	(309) 636-1569
Signature	James R. Smith			Date	10/09/2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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